AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2022

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Nichols, Carl J.	U.S. District Court for the District of Columbia	05/25/2023

4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	5a. Report Type (check appropriate type)	6. Reporting Period
District Court Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	01/01/2022 **to** 12/31/2022

7. Chambers or Office Address

333 Constitution Ave, NW
Washington, DC 20001

***IMPORTANT NOTES:* The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.**

I. POSITIONS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Nichols, Carl J.	05/25/2023

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.			
2.			
3.			
4.			

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE
1.	01/01/2022	THE ASPEN INSTITUTE, INC.
2.		
3.		
4.		

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

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Nichols, Carl J.	05/25/2023

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

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Nichols, Carl J.	05/25/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period (1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
1. CITIBANK CHECKING ACCT	A	Interest	J	T					
2. CITIBANK SAVINGS ACCT	A	Interest	J	T					
3. MERRILL LYNCH DEPOSIT ACCT	A	Interest	K	T					
4. CPG CARLYLE COMMITMENTS CLASS A	E	Distribution	N	T					
5. PSRP SPECIAL SITUATIONS ENHANCED-LIQUIDITY	A	Distribution	L	T					
6. PSRP PASSIVE US EQUITIES	A	Distribution	K	T					
7. PSRP PASSIVE NON-US EQUITIES	A	Distribution	K	T					
8. PSRP PASSIVE US BONDS	A	Distribution	J	T					
9. MPPP SPECIAL SITUATIONS ENHANCED-LIQUIDITY	A	Distribution	K	T					
10. MPPP PASSIVE US EQUITIES	A	Distribution	J	T					
11. MPPP PASSIVE NON-US EQUITIES	A	Distribution	J	T					
12. MPPP PASSIVE PASSIVE US BONDS	A	Distribution	J	T					
13. AXA EQUITABLE LARGE CAP VALUE		None	K	T					
14. AXA EQUITABLE INTERNATIONAL CORE VOLATILITY		None	J	T					
15. AXA EQUITABLE LARGE CAP GROWTH		None	K	T					
16. AXA EQUITABLE MODERATE ALLOCATION		None	K	T					
17. AXA EQUITABLE 2000 MANAGED VOLATILITY		None	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less N =$250,001 - $500,000 P3 =$25,000,001 - $50,000,000	K =$15,001 - $50,000 O =$500,001 - $1,000,000	L =$50,001 - $100,000 P1 =$1,000,001 - $5,000,000 P4 =More than $50,000,000	M =$100,001 - $250,000 P2 =$5,000,001 - $25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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☐ NONE *(No reportable income, assets, or transactions.)*

A Description of Assets (including trust assets)	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
18. THIRD AVENUE VALUE FUND INSTL CLASS	A	Dividend	K	T					
19. BLACKSTONE REAL ESTATE INCOME TRUST CLASS S	D	Distribution	M	T					
20. COLUMBIA EMERGING MARKETS FUND-1	A	Dividend	J	T					
21. ACAP STRATEGIC FUND	D	Distribution	N	T					
22. ICAPITAL KKR PRIVATE MARKETS	E	Distribution	N	T					
23. PMF TEI FUND, LP	A	Dividend	J	T	Buy	03/11/22	J		
24. ALTEGRIS KKR COMMITMENTS (71D499993)	B	Distribution			Sold	06/01/22	N	E	
25. BLACKSTONE REAL ESTATE INCOME TRUST INC CLASS S (71F319991)	D	Dividend	N	T					
26. PARTNERS GROUP PRIVATE EQUITY MASTER FUNDTD	D	Distribution	O	T					
27. IRONWOOD MULTI-STRATEGY FUND LLC (8EOB89997)	D	Dividend	M	T					
28. VANECK VECTORS FALLEN ANGEL HIGH YIELD B EXECUTED 100% (ANGL)	A	Dividend	J	T					
29. AMER FUNDS NEW PERSPECTIVE FUND (ANWFX)	C	Dividend	L	T					
30. BLKROCK AGE 12-13 YEARS		None			Sold	02/26/22	L	D	
31. BLACKROCK AGE 14-15 A		None	L	T	Buy	02/26/22	K		
32.					Buy (add'l)	03/03/22	J		
33.					Buy (add'l)	04/03/22	J		

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34.					Buy (add'l)	05/03/22	J		
35.					Buy (add'l)	06/03/22	J		
36.					Buy (add'l)	07/03/22	J		
37.					Buy (add'l)	08/03/22	J		
38.					Buy (add'l)	09/03/22	J		
39.					Buy (add'l)	10/03/22	J		
40.					Buy (add'l)	11/03/22	J		
41.					Buy (add'l)	12/03/22	J		
42. FRTEMP 11-12		None			Sold	02/26/22	L	C	
43. FRTEMP 13-14 A		None	L	T	Buy	02/26/22	L		
44.					Buy (add'l)	03/03/22	J		
45.					Buy (add'l)	04/03/22	J		
46.					Buy (add'l)	05/03/22	J		
47.					Buy (add'l)	06/03/22	J		
48.					Buy (add'l)	07/03/22	J		
49.					Buy (add'l)	08/03/22	J		
50.					Buy (add'l)	09/03/22	J		

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51.					Buy (add'l)	10/03/22	J		
52.					Buy (add'l)	11/03/22	J		
53.					Buy (add'l)	12/03/22	J		
54. MFS 14-15 A		None	L	T	Buy	02/26/22	K		
55.					Buy (add'l)	03/03/22	J		
56.					Buy (add'l)	04/03/22	J		
57.					Buy (add'l)	05/03/22	J		
58.					Buy (add'l)	06/03/22	J		
59.					Buy (add'l)	07/03/22	J		
60.					Buy (add'l)	08/03/22	J		
61.					Buy (add'l)	09/03/22	J		
62.					Buy (add'l)	10/03/22	J		
63.					Buy (add'l)	11/03/22	J		
64.					Buy (add'l)	12/03/22	J		
65. BLKROCK 19+ A		None	L	T	Buy (add'l)	01/03/22	L		
66.					Buy (add'l)	02/03/22	J		
67.					Buy (add'l)	03/03/22	J		

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68.					Buy (add'l)	04/03/22	J	
69.					Buy (add'l)	05/03/22	J	
70.					Buy (add'l)	06/03/22	J	
71.					Buy (add'l)	07/03/22	J	
72.					Buy (add'l)	08/08/22	J	
73.					Buy (add'l)	09/03/22	J	
74.					Buy (add'l)	10/03/22	J	
75.					Buy (add'l)	11/03/22	J	
76.					Buy (add'l)	12/03/22	J	
77.					Sold (part)	12/01/22	K	A
78.					Sold (part)	08/01/22	K	A
79. FRANK TEMP 19 A		None	L	T	Buy (add'l)	01/03/22	J	
80.					Buy (add'l)	02/03/22	J	
81.					Buy (add'l)	03/03/22	J	
82.					Buy (add'l)	04/03/22	J	
83.					Buy (add'l)	05/03/22	J	
84.					Buy (add'l)	06/03/22	J	

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
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85.					Buy (add'l)	07/03/22	J		
86.					Buy (add'l)	08/03/22	J		
87.					Buy (add'l)	09/03/22	J		
88.					Buy (add'l)	10/03/22	J		
89.					Buy (add'l)	11/03/22	J		
90.					Buy (add'l)	12/03/22	J		
91.					Sold (part)	12/01/22	J	A	
92.					Sold (part)	08/01/22	J	A	
93. MFS AGE 18+ A		None	L	T	Buy (add'l)	01/03/22	J		
94.					Buy (add'l)	02/03/22	J		
95.					Buy (add'l)	03/03/22	J		
96.					Buy (add'l)	04/03/22	J		
97.					Buy (add'l)	05/03/22	J		
98.					Buy (add'l)	06/03/22	J		
99.					Buy (add'l)	07/03/22	J		
100.					Buy (add'l)	08/03/22	J		
101.					Buy (add'l)	09/03/22	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
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102.					Buy (add'l)	10/03/22	J		
103.					Buy (add'l)	11/03/22	J		
104.					Buy (add'l)	12/03/22	J		
105.					Sold (part)	12/01/22	K	A	
106.					Sold (part)	08/01/22	K	A	
107. FRANK TEMP 20+ A		None	J	T	Buy (add'l)	01/03/22	J		
108.					Buy (add'l)	02/03/22	J		
109.					Buy (add'l)	03/03/22	J		
110.					Buy (add'l)	04/03/22	J		
111.					Buy (add'l)	05/03/22	J		
112.					Buy (add'l)	06/03/22	J		
113.					Buy (add'l)	07/03/22	J		
114.					Buy (add'l)	08/03/22	J		
115.					Buy (add'l)	09/03/22	J		
116.					Buy (add'l)	10/03/22	J		
117.					Buy (add'l)	11/03/22	J		
118.					Buy (add'l)	12/03/22	J		

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Name of Person Reporting	Date of Report
Nichols, Carl J.	05/25/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A Description of Assets (including trust assets)	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
119.					Sold (part)	08/01/22	J	A	
120.					Sold (part)	12/01/22	J	A	
121. BLACKSTONE PRIVATE CREDIT FUND	B	Dividend	L	T					
122. OWL ROCK CORE INCOME	B	Dividend	L	T					
123. VANGUARD INTERMEDIATE TERM BOND ETF	A	Dividend	J	T					
124. EATON VANCE FLOATING RATE FUND (EIBLX)	A	Dividend	J	T					
125. ISHARES IBOXX$ HIGH YIEL CORPORATE BOND EXECUTED 100% (HYG)	A	Dividend			Sold	09/14/22	K	C	
126. ISH USD HIGH YIELD CORPORATE BOND (USHY)	C	Dividend	L	T					
127. ISHARES BROAD USD INVST GRADE (USIG)	D	Dividend	N	T					
128. ISHARES MBS ETF (MGG)	B	Int./Div.	J	T	Buy	06/01/22	J		
129. XTRACKERS USD HIGH YIELD CORPORATE BOND ETF (HYLB)	A	Dividend	J	T					
130. ISHARES TR CORE MSCI EAF ETF (IEFA)	D	Dividend	M	T					
131. SCHWAB SHORT-TERM US TREASURY ETF (SCHO)	C	Dividend	K	T	Buy	05/11/22	K		
132. ISHARES INC CORE MSCI EMERGING MKTS ETF EXECUTED 100% (IEMG)	D	Dividend	M	T					
133. ISHARES 20+ YEAR TREASURY BOND ETF (TLT)	A	Dividend	J	T	Buy	07/12/22	J		
134. ISHARES US TREASURY BOND ETF (GOVT)	B	Distribution	L	T	Buy	11/21/22	L		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less N =$250,001 - $500,000 P3 =$25,000,001 - $50,000,000	K =$15,001 - $50,000 O =$500,001 - $1,000,000	L =$50,001 - $100,000 P1 =$1,000,001 - $5,000,000 P4 =More than $50,000,000	M =$100,001 - $250,000 P2 =$5,000,001 - $25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Nichols, Carl J.	05/25/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A Description of Assets (including trust assets)	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
135. LORD ABBETT SHORT DURATION INCOME FD CL F FUND (LLDYX)	A	Dividend	J	T					
136. ISHARES IBOXX $ INVT GRADE CORP BD (LQD)	A	Interest	K	T					
137. MFS VALUE FD CL I FUND SUBJECT TO RED FEE. (MEIIX)	B	Dividend	L	T					
138. ISHARES MBS ETF (MBB)	A	Dividend	J	T	Buy	10/11/22	J		
139. INVESCO DEVELOPING MARKETS (ODVYX)	A	Dividend	K	T					
140. TEMPLETON GLBL BOND	A	Dividend			Sold	07/01/22	J	A	
141. VANGUARD SMALL CAP GROWTH ETF PER ADVISORY AGREEMENT (VBK)	A	Dividend	L	T					
142. VANGUARD SMALL CAP VALUE (VBR)	A	Dividend	K	T	Buy	11/21/22	K		
143. VANGUARD TOTAL INTERNATL BOND (BNDX)	C	Dividend	M	T					
144. VANGUARD INTRMDIATE-TERM CORPORATE BOND EXECUTED 100% (VCIT)	A	Dividend	J	T					
145. VANGUARD SHORT-TERM CORPORATE BOND EXECUTED 100% (VCSH)	A	Dividend	J	T					
146. VANGUARD VALUE ETF (VTV)	D	Dividend	O	T					
147. VANGUARD MORTGAGE BACKED SEC (VMBS)	A	Dividend	M	T	Buy	11/21/22	M		
148. VANGUARD GROWTH ETF (VUG)	B	Dividend	O	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less N =$250,001 - $500,000 P3 =$25,000,001 - $50,000,000	K =$15,001 - $50,000 O =$500,001 - $1,000,000	L =$50,001 - $100,000 P1 =$1,000,001 - $5,000,000 P4 =More than $50,000,000	M =$100,001 - $250,000 P2 =$5,000,001 - $25,000,000	
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Name of Person Reporting	Date of Report
Nichols, Carl J.	05/25/2023

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Name of Person Reporting	Date of Report
Nichols, Carl J.	05/25/2023

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Carl J. Nichols

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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